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Human resources management

Special measures for protection from sexual exploitation and abuse: a new approach

Report of the Advisory Committee on Administrative and Budgetary Questions

I. Introduction

1. The Advisory Committee on Administrative and Budgetary Questions has considered an advance version of the report of the Secretary-General on special measures for protection from sexual exploitation and abuse: a new approach (A/71/818 and Add.1). During its consideration of the report, the Advisory Committee met with representatives of the Secretary-General who provided additional information and clarification, concluding with written responses received on 28 March 2017. An advance version of the addendum to the report of the Secretary-General was provided to the Advisory Committee during the course of its consideration of the item.

II. Background and context

2. The Advisory Committee recalls that, following allegations of sexual exploitation and abuse in the Central African Republic that came to light in 2014, in June 2015, the Secretary-General appointed the External Independent Review Panel on the United Nations response to allegations of sexual abuse by foreign military forces in the Central African Republic.[1] In its resolution 69/307, the General Assembly expressed concern about the response of the United Nations to the allegations of sexual exploitation and sexual abuse in the Central African Republic, and welcomed the establishment of an external independent review panel. The Assembly requested the Secretary-General to report expeditiously to it on the findings of the review and on the lessons learned and measures for improvement no later than at the main part of its seventieth session.

[1] Press release SG/SM/16864-SG/A/1578 of 22 June 2015. Available from www.un.org/press/en/2015/sgsm16864.doc.htm.

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3. In its resolution 70/286, the General Assembly noted with concern the findings in the independent review, including on the flaws in the United Nations system response, and requested the Secretary-General to report on lessons learned and measures to improve the system-wide response to allegations of sexual exploitation and abuse and to uphold the highest standards of transparency, efficiency and accountability (see also A/70/729 and A/70/742). In the same resolution, the Assembly welcomed the appointment of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse,[2] and requested the Secretary-General to regularly update Member States on progress with respect to her mandate.

4. Also in its resolution 70/286, the General Assembly, inter alia: (a) highlighted the importance of providing expeditious support to victims; (b) noted with appreciation the establishment of the Trust Fund in Support of Victims of Sexual Exploitation and Abuse and decided to approve the transfer of withheld payments in substantiated cases of sexual exploitation and abuse by civilian, military and police personnel to the Trust Fund; (c) called upon the Secretary-General to ensure coordination across United Nations entities at the country level in order for victims to receive immediate basic assistance and support; (d) welcomed the strong commitment of the troop-contributing countries to the United Nations policy of zero tolerance of sexual exploitation and sexual abuse; (e) reiterated the importance of further improving the collaboration between the Secretary-General and the troop- and police-contributing countries, emphasizing the need to maintain frequent exchange of information; (f) recognized the risk factors linked to recent allegations of sexual exploitation and abuse, as identified by the Secretary-General in his report on the subject (A/70/729); (g) requested the Secretary-General to use the proposed reporting methodology and template for all United Nations uniformed and civilian personnel and non-United Nations forces operating under a Security Council mandate; and (h) also requested the Secretary-General to immediately inform the Member States concerned about allegations of sexual exploitation and abuse.

5. In response to the request made by the General Assembly in resolution 70/286, the Secretary-General submitted his report on combating sexual exploitation and abuse (A/71/97) for consideration by the Assembly at the main part of its seventy-first session. The report provided information and updates on, inter alia: (a) the initiatives undertaken across the United Nations system to combat sexual exploitation and abuse, since February 2016, including those under way at the time to address the recommendations of the External Independent Review Panel, and a broad range of systemic issues related to how the United Nations responds to allegations; (b) measures for the implementation of Security Council resolution 2272 (2016); (c) Member State engagement and emerging best practices in United Nations troop and police deployments; (d) system-wide coordination, strengthened prevention and enhanced response to victims, including services and protection; (e) strengthened reporting, investigation and accountability efforts; and (f) placing greater focus on the monitoring and reporting of sexual exploitation and abuse by non-United Nations forces.

6. In its related report (A/71/643), the Advisory Committee welcomed the appointment of the Special Coordinator. The Committee noted the continued fragmentation of the response of the various United Nations entities dealing with such matters and the need for a more coherent framework for preventive and responsive actions. In addition, the Committee stressed the need for a more streamlined method of reporting and to ensure that information is transmitted to Member States in a

[2] The Special Coordinator was initially appointed by the Secretary-General on 1 March 2016 for a period of 11 months, funded under extrabudgetary resources.

timely manner. The report of the Secretary-General (A/71/97) and related report of the Advisory Committee (A/71/643) are currently before the General Assembly.

7. In January 2017, the Secretary-General established a high-level task force, led by the Special Coordinator, to develop as a matter of urgency a strategy to achieve visible and measurable improvements in the way the Organization prevents and responds to sexual exploitation and abuse.[3]

8. In February 2017, the Advisory Committee indicated that it concurred with the Secretary-General's request to extend the period of the mandate of the Special Coordinator, at the Under-Secretary-General level, in the Executive Office of the Secretary-General, for a one-year period, until 31 January 2018, funded from extrabudgetary resources, under the authority conferred upon the Committee by the General Assembly in section II, paragraph 2, of its resolution 35/217 of 17 December 1980.

9. In its resolution 71/278 of 10 March 2017 on United Nations action on sexual exploitation and abuse, the General Assembly expressed its support to the Secretary-General, the Office of the Special Coordinator and all relevant departments in their efforts to implement the policy of zero tolerance of sexual exploitation and sexual abuse, welcomed the establishment of the high-level task force, and reiterated several requests and issues that had been highlighted in its resolution 70/286 (see para. 4 above). In addition, in resolution 71/278, the Assembly inter alia: (a) recognized that a culture of impunity could result in an increase in sexual exploitation and abuse; (b) underscored that victims of sexual exploitation and abuse should be at the core of the United Nations efforts in implementing the zero-tolerance policy; (c) stressed that enhanced transparency of credible reporting of allegations contributed positively to the effectiveness of the United Nations in combating sexual exploitation and abuse; (d) requested the Secretary-General to continue to promote effective coordination and collaboration with regard to the audit, evaluation and investigation functions of the Office of Internal Oversight Services (OIOS) in order to ensure an integrated approach to oversight; and (e) decided to include in the provisional agenda of its seventy-second session an item entitled "Sexual exploitation and abuse: implementing a zero-tolerance policy".

III. Key aspects of the report of the Secretary-General

10. In his most recent report on the subject (A/71/818 and Add.1), the Secretary-General set out his strategy for improving the Organization's system-wide approach to preventing and responding to sexual exploitation and abuse. The strategy focuses on four main areas of action as summarized below:

(a) Putting the rights and dignity of victims of sexual exploitation and abuse at the forefront of efforts (see A/71/818, paras. 20-38), including: (i) the introduction of victims' assistance support functions at Headquarters and field locations, including through the victims' rights advocate functions; (ii) the establishment of a system-wide, consolidated confidential repository of case information, building on the existing Misconduct Tracking System developed by the Department of Field Support; (iii) a protocol developed by the Secretary-General on preventing sexual exploitation and abuse as part of the mandates and budgets of peacekeeping operations where heightened risk exists, including guidelines on non-fraternization and prohibitions on the consumption of alcohol, and proposals for the improvement of welfare and living conditions; and (iv) a variety of other measures, such as a revision of the terms of

[3] Press release SG/A/1697 of 6 January 2017. Available from www.un.org/press/en/2106/sga1697.doc.htm.

reference of the Trust Fund to permit direct assistance payments to victims to allow them, for example, to attend trials and the establishment of procedures to withhold reimbursements to troop- and police-contributing countries in the event that investigations are not undertaken, reported on and concluded in a timely manner and to transfer the amounts withheld to the Trust Fund;

(b) Ending impunity (ibid., paras. 39-63), including strengthened measures in reporting, investigations and follow-up to hold to account the individuals responsible; the creation of a voluntary compact between the Secretary-General and Member States with the objective of defining the specific commitments of the Organization and Member States in advancing joint efforts to combat sexual exploitation and abuse. and strengthened of measures to ensure that United Nations partners and non-United Nations forces uphold the standards set for the United Nations;

(c) Building a multi-stakeholder network to support the United Nations in its efforts to prevent and respond to sexual exploitation and abuse;

(d) Raising awareness and sharing best practices to end sexual exploitation and abuse.

11. In his report, the Secretary-General also raised the issue of the initial screening of candidates for every United Nations post as a part of pre-recruitment procedures and signalled his intention for the Secretariat to explore the possible use of commercial services for that purpose. In that regard, the Advisory Committee recalls the observations made, in its related report on the sixth report on the accountability system in the United Nations Secretariat, on the Misconduct Tracking System maintained by the Department of Field Support. The Committee stressed in particular the need for a single system-wide tracking system to cover all forms of misconduct thereby ensuring a comprehensive and consistent system of vetting that avoids any duplication of effort. (see A/71/820, para. 24; see also A/70/718, para. 22).

12. Further information is contained in the annexes to the report of the Secretary-General (A/71/818), set out as follows: annex I contains, for each of the above-mentioned four areas, a summary of the proposed actions and recommendations and an indication of the relevant lead department; annex II contains a list of best practices of Member States on prevention of and response to sexual exploitation and abuse; and annex III contains information on prior system-wide initiatives and proposals on addressing sexual exploitation and abuse, in the areas of prevention, protection measures and victim assistance and response, in terms of investigations and accountability.

13. In addition, pursuant to General Assembly resolutions 57/306 and 70/286, annex IV to the report of the Secretary-General contains data on allegations of sexual exploitation and abuse reported across the United Nations system and by non-United Nations international forces authorized by a Security Council mandate, in 2016. The data includes: (a) information on the nature of the allegations reported for peacekeeping operations and special political missions and other entities; (b) the status of investigations related to the allegations; and (c) the allegations reported to OIOS for peacekeeping operations and special political missions, allegations reported to the Office of Human Resources Management for other entities, and allegations reported to the Office of the High Commissioner for Human Rights.

14. With reference to annex III to the report of the Secretary-General containing details on prior system-wide initiatives and proposals on addressing sexual exploitation and abuse, the Advisory Committee was provided, upon enquiry, with an update with regard to the target completion dates of those initiatives that were not yet fully implemented and the new initiatives in each category, namely prevention;

response in terms of investigations; and response in terms of accountability, which is contained in annex I to the present report.

15. The Secretary-General requested the General Assembly to endorse or take note of a series of measures listed in paragraphs 79 (a) to (j) of his report. **The Advisory Committee is of the view that most of the measures set out in paragraph 79 of the report of the Secretary-General constitute policy matters to be decided by the General Assembly.**

IV. Resource requirements

16. In the addendum to his report, the Secretary-General provided information on the estimated resource requirements and related funding arrangements for the measures indicated in his report. Those requirements comprise a total of 12 positions (1 Under-Secretary-General, 1 Assistant Secretary-General, 6 positions at the P-5 level, 2 at the P-4 level, 1 at the P-3 level and 1 General Service (Other level)), as well as other related non-post requirements, to be met from the programme budget, the budgets of peacekeeping operations and the extrabudgetary resources available to the Organization. In that connection, the Secretary General indicated his intention to establish two offices, both reporting in parallel to the Chef de Cabinet in the Executive Office of the Secretary-General, as follows:

(a) An Office of the Victims' Rights Advocate comprising eight positions, as follows: (i) four temporary positions, to be funded under the programme budget, comprising one position for a senior human rights expert to serve as the Victims' Rights Advocate, at the Assistant Secretary-General level, heading the office, supported by one position of Human Rights Officer (P-4), one position of Political Affairs Officer (P-3) and one position of Administrative Assistant (General Service (Other level)); and (ii) four positions, to be funded under peacekeeping budgets, of Victims' Rights Advocate (P-5) to be located at those peacekeeping missions with the largest number of sexual exploitation and abuse cases, namely, the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic, the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo, the United Nations Stabilization Mission in Haiti and the United Nations Mission in South Sudan;

(b) An Office of the Special Coordinator, funded through extrabudgetary resources, comprising the position of Special Coordinator (Under-Secretary-General) heading the Office, supported by one position of Senior Coordination/Political Affairs Officer (P-5), one position of Political Affairs Officer (P-4), and one position of Senior Policy and Outreach Officer (P-5).

17. As indicated in paragraph 7 of the addendum to the report of the Secretary-General (A/71/818/Add.1), the resource requirements for the two offices would amount to $2,205,500, distributed under the 2016-2017 programme budget, 2017/18 peacekeeping budgets, and extrabudgetary resources for 2017, as follows:

(a) An amount of $455,300 under the programme budget for the biennium 2016-2017 to cover the indicated requirements for the four temporary positions in the Office of the Victims' Rights Advocate as well as other related non-post costs for the period from 1 July 2017 to 31 December 2017 (see para. 16 (a) (i) above). The Secretary-General indicated his intention to use his commitment authority on limited budgetary discretion, granted to him under resolution 70/248 of 23 December 2015, in order to absorb, within the programme budget for the biennium 2016-2017, the costs of the above-mentioned four temporary positions;

(b) An amount of $1,180,000 under peacekeeping budgets for the financial period from 1 July 2017 to 31 June 2018 to cover the requirements for the establishment of the four positions of Victims' Rights Advocate (P-5) and related non-post costs in each of four peacekeeping missions with the largest number of cases (see para. 16 (a) (ii) above). The Secretary-General indicated his intention to absorb the requirements within the budgets of the respective peacekeeping missions for the financial period 2017/18;

(c) An amount of $570,200 in extrabudgetary funds to meet the post and related non-post requirements for the four positions in the Office of the Special Coordinator for the period from 1 July to 31 December 2017 (see para. 16 (a) above). As indicated in the addendum, the position of Under-Secretary-General has been funded since 1 March 2016 and approved through 31 January 2018 by the Advisory Committee (see also para. 8 above), and the estimated extrabudgetary resources reflect funding for the Under-Secretary-General position for the period from 1 July to 31 December 2017 for comparison purposes and to provide a full picture of the resource requirements over the indicated period.

18. **With regard to the Secretary-General's stated intention to request that the above positions be formally established in mission staffing tables (see A/71/818, para. 30), the Advisory Committee emphasises that proposals for the establishment of regular budget and peacekeeping posts and positions must be submitted for approval by the General Assembly in the context of the relevant budget documents.**

19. The Advisory Committee sought clarification as to how the estimated requirements for the four positions of Victims' Rights Advocate (P-5) would be absorbed in the peacekeeping budgets of the respective missions for the 2017/18 period, given that those budgets have not yet been submitted for consideration or approved by the General Assembly, and whether the budgets in question would be amended to reflect the requirements for those positions (see A/71/818/Add.1, para. 5; see also para. 16 (b) above). The Advisory Committee was informed that, should the General Assembly approve the functions of those positions (see para. 18 above), proposals for dedicated positions would be included in future budget submissions. With regard to the 2017/18 financial period, the Advisory Committee would be informed, during the 2017/18 period, should the Controller decide to authorize the establishment of the four temporary positions in question. The additional resources would be absorbed within the approved resources for 2017/18 and reported on in the context of the performance report. **The Advisory Committee trusts that the Secretary-General will ensure full transparency in addressing this issue. The Committee further emphasises that, should the Secretary-General decide to proceed as indicated above for the functions of any of the four abovementioned positions during the implementation of the 2017/18 budgets of the missions in question, the proposals, if any, that the Secretary-General may wish to make for the establishment of the positions of Victims' Rights Advocate (P-5) would have to be included in the 2018/19 proposed budgets of the relevant missions for consideration by the General Assembly during its second resumed seventy-second session.**

20. **Furthermore, should the Secretary-General decide to use his commitment authority on limited budgetary discretion granted to him under resolution 70/248 to absorb the costs of the above-mentioned four temporary positions under the programme budget for the biennium 2016-2017 (see A/71/818/Add.1; see also para. 16 (a) above), the Advisory Committee trusts that, in exercising his authority, the Secretary-General will ensure strict application of the nine principles contained in resolution 60/283 of the General Assembly (see annex II to the present report) and, furthermore, that he will provide full justifications**

on the use of those resources in the second performance report for the biennium 2016-2017. In that regard, the Advisory Committee recalls General Assembly resolution 70/248 A (sect. II, para. 2) and paragraph 14 of the related report of the Advisory Committee (A/70/7/Add.5).

21. **The Advisory Committee trusts that any future proposals that the Secretary-General may submit on the Office of the Special Coordinator and/or the Office of the Victims' Rights Advocate will include details on the proposed structures and rationale for their placement within the Organization, as well as on the number, grade levels, functions and reporting lines of the posts and positions proposed. Full justification for any proposed requirements should be provided, taking into account all existing resources dedicated to dealing with sexual exploitation and abuse issues across the Secretariat, as well as at other relevant United Nations system entities. Furthermore, should the Secretary-General decide to submit such a proposal for approval by the General Assembly, consideration should be given to the application of a cost-sharing formula for apportioning costs among different funding sources, as was the case for other Organization-wide initiatives, such as Umoja.**

Annex I

Status of ongoing initiatives and proposals for combating sexual exploitation and abuse, by category

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
Prevention			
1. Expansion of troop- and police-contributing countries certifying their personnel have received predeployment training support; updated core predeployment training materials (A/69/779, A/70/729 and A/70/357-S/2015/682)	Implementation ongoing	DFS	Member States are supported in their delivery of predeployment training by having strengthened materials
2. Development of an electronic tool for screening United Nations staff dismissed as a result of a substantiated allegation of sexual exploitation and abuse or who resigned or were dismissed during an investigation of sexual exploitation and abuse (A/69/779, A/70/729 and A/71/97)	Ongoing. Under development	DM, DFS and EOSG/OSC	Prevent the rehiring of staff with substantiated allegations of sexual exploitation and abuse
3. Where sexual exploitation and abuse is substantiated, suspended or outstanding payments related to individuals will not be paid from the notification of the incidents (A/69/779 and General Assembly resolutions 65/289 and 66/264)	Completed. Being implemented as necessary and there is no end target date. It is a rolling implementation	DFS	Sends a strong message to personnel that individual accountability will be enforced in cases of alleged sexual exploitation and abuse
4. The Secretary-General may repatriate a contingent or formed police unit commander without the possibility of further service where there is a documented pattern of sexual exploitation and abuse within the contingent (Security Council resolution 2272 (2016))	Being implemented as necessary and there is no end target date. It is a rolling implementation. The Secretariat developed operational guidance pursuant to Security Council resolution 2272 (2016)	DFS	Demonstrates the seriousness of the Organization's expectations of senior commanders; enhances individual accountability and command and control
5. Troop-and police-contributing countries are requested to appoint paternity focal points (A/69/779 and A/70/729)	No target date was given to Member States and action lies with them. The Secretariat regularly follows up with Member States. Some Member States have appointed paternity focal points; the Secretariat is following up with others	DFS	Significantly supports individual victims and children born as a result of sexual exploitation and abuse in navigating paternity and child support proceedings in Member States of personnel found to have committed sexual exploitation and abuse

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
6. DNA sample collection protocol developed; missions provided with kits and guidance (A/69/779 and A/70/729)	Completed. Being implemented as appropriate. It is a rolling implementation.	DFS	Enables victims to advance paternity claims related to sexual exploitation and abuse
7. Member States asked to agree to obtain DNA samples of uniformed personnel alleged to have committed sexual exploitation and abuse (A/70/729)	No target date was given to Member States and action lies with them. The Secretariat regularly follows up with Member States. Some Member States have begun to implement this request	DFS	Will strengthen criminal accountability, as well as paternity and child support claims
8. Secretariat explores how technology solutions can support risk assessment and mitigation (A/70/729)	Under development. One aspect includes analysis of a technology survey projected to be completed in the third quarter of 2017	DFS	May allow for the use of innovative tools, for example, through the gathering of intelligence, to enhance risk management
9. The Secretary-General is developing guidance on referring possible criminal conduct to Headquarters and judicial authorities (host State or State of nationality) (A/69/779, A/70/729 and A/70/357-S/2015/682)	Ongoing. Draft guidance to be completed in the third quarter of 2017	DFS	Will enhance clarity within peace operations of how and when to trigger criminal accountability
10. Develop proposal for capacity to support resident coordinator on sexual exploitation and abuse prevention (A/69/779 and A/70/729)	Completed. Proposal shared with the High-level Committee on Management in October 2016. Under review by United Nations Development Group, for its endorsement	DFS	Would better allow for the resident coordinator to have dedicated resources to advance the system-wide measures to support and assist victims
11. Member States urged to receive claims from victims and establish mechanisms for doing so (A/70/729)	Recommended by the Secretary-General. Requires further engagement with Member States. Ongoing. No target date was given to Member States and action lies with them. The Secretariat regularly follows up with Member States	DFS	Victims would have the means to seek from Member States financial compensation for harm suffered as a result of sexual exploitation and abuse
12. Victims' Rights Advocate on board by 1 July (A/71/818, para. 27) (a) ASG post (b) P and GS posts	1 June 2017	OSC	
13. Circle of leadership, consisting of Heads of State (ibid., para. 18)	1 June 2017	OSC	
14. Standing advisory board. (ibid., para. 65)	1 June 2017	OSC	

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
15. Chair of the Global Compact to create a business advisory group (ibid., para. 66)	1 June 2017	DFS	
16. Organize a high-level meeting on combating sexual exploitation and abuse before the end of 2017 (ibid., para. 18)	1 June 2017	OSC	
17. Compact between Secretary-General and individual Member States (ibid., para. 57)	1 June 2017	DFS	
18. Annual plan of action to combat sexual exploitation and abuse (ibid., para. 23)	1 June 2017	System-wide	
19. Risk assessments of each operational deployment (ibid., para. 23)	1 June 2017	System-wide	
20. Develop an annual written attestation on the United Nations code of conduct and the consequences of failing to abide by it (ibid., para. 37)	1 June 2017	DM/OHRM	
21. Include a clause in the personal history profile by which applicants agree that past records of employment with other United Nations entities may be accessed (ibid., para. 16)	1 October 2017	DM/OHRM	
22. Specify in all job openings and hiring letters the United Nations values and expectations of conduct and the consequences for misconduct (ibid., para. 15)	1 October 2017	DM/OHRM	
23. Require all staff members to acknowledge in writing, upon entry, reassignment and on a yearly basis, their knowledge and understanding of the United Nations standards of conduct, particularly regarding sexual exploitation and abuse, and the consequences for violating them (ibid., para. 15)	1 October 2017	DM/OHRM	
24. Enforce the policy on whistle-blowers and develop mechanisms to strengthen it (ibid., para. 44)	1 June 2017	Ethics Office	
25. Pre-deployment training on preventing sexual exploitation and abuse to be mandatory (ibid., para. 36)	1 June 2017	DFS/DPKO/ DSS/AFP	

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
26. Manual on preventing sexual exploitation and abuse for senior leadership (ibid., para. 26)	1 June 2017	OSC	
27. Strengthen initial screening of candidates (ibid., para. 16)	1 June 2017	System-wide	
28. Launch a system-wide internal communications campaign on sexual exploitation and abuse (ibid., para. 23)	1 June 2017	DPI	
29. Provide innovative recommendations on the use of technology and social media to increase transparency and reporting on cases of sexual exploitation and abuse (ibid., para. 68)	1 October 2017	OICT	
30. Work closely with the Victims' Rights Advocate in formulating effective outreach strategies (ibid., para. 43)	1 October 2017	DPI	
31. Establish a system of public disclosures of credible allegations and follow-up measures (ibid., para. 69)	1 October 2017	DPI	
32. Report publicly and regularly on the status of proceedings and other States' actions on cases (ibid., para. 54)	1 June 2017	DPI/DFS	
33. Identify and launch a systemic mechanism to share and publicize the Member States' best practices and lessons learned (ibid., para. 56)	1 June 2017	DFS	
34. Foster and encourage Member State capacity building and learning, including facilitating troop- and police-contributing country cooperation on best practices (ibid., para. 53)	1 June 2017	DFS	
35. Resume monthly meetings of the High-level Steering Group (ibid., para. 75)	1 April 2017	EOSG	
36. Working group on sexual exploitation and abuse, to resume its work, in support of the High-level Steering Group (ibid., para. 75)	1 April 2017	OSC	
37. Outreach to local communities and strengthening of community-based complaint mechanisms (ibid., para. 42)	1 June 2017	DPI	

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
38. Provide recommendations on how to best harness strategic communications to change the narrative on sexual exploitation and abuse and on increasing awareness-raising and education, system-wide (ibid., para. 67)	1 June 2017	DPI	
39. Work with organizations that have specialized expertise in combating online sexual exploitation and abuse, to intensify prevention efforts through outreach (ibid., para. 71)	1 June 2017	OICT	
Response:			
(a) Investigations			
40. The Secretary-General requested that troop-contributing countries appoint a national investigations officer within 5 days rather than the 10 days required under the model memorandum of understanding (A/70/729)	Completed. When the Secretariat informs troop-contributing countries (TCCs) of allegations through a note verbale, it has been requested that they appoint a national investigations officer within 5 days, when relevant, rather than the 10 days required under the model memorandum of understanding. In addition, the required amendment has been made to the statement of unit requirements to reflect the need for the deployment of a national investigations officer (with recognition for the need to be based on the size of deployment). Embedding national investigations officers allows for a faster response when investigations need to take place. Annex II to the report of the Secretary-General contains best practices and positive examples from TCCs with regard to national investigations officers (A/71/818)	DFS	Investigations are expedited by cutting delays inherent in the appointment and deployment of national investigations officers to peacekeeping missions
41. Member States requested to adopt a six-month timeline, as done by United Nations investigative entities in 2015. If urgent, time frame would be shortened to three months (A/69/779, A/70/729 and A/70/357-S/2015/682)	Completed. When the Secretariat informs TCCs of allegations, through a note verbale, they are requested to adopt a six-month timeline, as done by United Nations investigative entities in 2015. If urgent, the time frame is requested to be shortened to three months. The annex on best practices has positive examples from TCCs in that regard	DFS	Investigations are expedited, which encourages timely accountability

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
42. Member States requested to establish on-site court-martial proceedings when allegations amount to sex crimes under national law (A/69/779, A/70/729, A/70/357-S/2015/682 and Security Council resolution 2272 (2016))	Completed. No target date was given to Member States and action lies with them. The Secretariat regularly follows up with Member States	DFS	On-site court-martial proceedings provide greater transparency and allow victims and communities to see accountability processes at work
43. Victims' Assistance Protocol to be tested in the field (A/71/818, para. 33).	1 June 2017	UNICEF	
44. Possibility of assistance payments to victims (ibid., para. 35)	1 June 2017	Controller	
45. Conclude deliberations to launch the pilot of uniform incident reporting form (ibid., para. 40)	1 June 2017	EOSG	
46. Identify and test mobile technologies and applications on reporting from persons in the field (ibid., para. 43)	1 October 2017	OICT	
47. Develop technology to permit the live streaming of and victims' access to courts martial (ibid., para. 59 (b) (xii))	1 October 2017	OICT	
48. Develop a programme of unannounced visits to field missions (ibid., para. 49)	1 June 2017	System-wide	
49. Develop the capacity to aggregate and analyse system-wide data associated with sexual exploitation and abuse, subject to funding (ibid., paras. 41 and 43)	1 October 2017	OICT	
50. Improve independence and quality of investigations (ibid., para. 39)	1 October 2017	OIOS	
51. Pooling investigative capacities regarding sexual exploitation and abuse (ibid., para. 45)	1 October 2017	OIOS	
52. Collection of DNA on a voluntary basis (ibid., para. 59 (b) (xiii))	1 October 2017	DFS	
(b) Accountability			
53. Where sexual exploitation and abuse is substantiated, suspended or outstanding payments related to individuals will not be paid from date of incident (A/70/729 and A/70/357-S/2015/682)	Completed. Member States are informed regularly, through note verbale in relevant situations, that where sexual exploitation and abuse is substantiated, suspended or outstanding payments related to individuals will not be paid from the date of incident	DFS	Sends a strong message to personnel that individual accountability will be enforced in cases of alleged sexual exploitation and abuse

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
54. Secretary-General may repatriate a contingent or formed police unit commander without the possibility of further service where there is a documented pattern of sexual exploitation and abuse within the contingent (A/69/779 and Security Council resolution 2272 (2016))	Rolling implementation, as appropriate. The Secretary-General has taken action to repatriate in appropriate cases. The Security Council requested the Secretariat to develop operational guidance, further to resolution 2272 (2016), which was finalized and shared with the Security Council	DFS	Demonstrates the seriousness of the Organization's expectations of senior commanders; enhances individual accountability and command and control
55. Secretary-General to: (a) withhold service medals from units while misconduct under investigation; (b) consider repatriating the entire contingent or formed police unit where there is prima facie evidence of widespread or systemic violations by its members; (c) consider the individual under investigation for sexual exploitation and abuse as ineligible for premium for risk (A/68/813); (d) consider documented pattern of non-compliance by a Member State with regard to United Nations standards of conduct in determination of eligibility for a premium for enabling capacities; and (e) terminate deployment of uniformed personnel if there is a documented pattern of non-compliance with United Nations standards of conduct (A/69/779)	Completed (Secretary-General informed that he would do so in A/69/779). Rolling implementation as appropriate: policy (a), relating to the issuance of service medals, has been amended accordingly; (b)-(e) under implementation by the Secretary-General in appropriate cases. It is noted that the factors raised under (b)-(e) are reflected in Security Council resolution 2272 (2016) and the operational guidance	DFS	Reinforces the accountability of troop- and police-contributing countries; allows the Organization to mediate operational risks
56. Suspension of staff with credible Allegations of sexual exploitation and Abuse against them (A/71/818, para. 37)	1 June 2017	System-wide	
57. Ensure terminated personnel not be rehired in any other part of the United Nations system. (ibid., para. 16)	1 June 2017	System-wide	
58. Carry the "no excuses" card (ibid., para. 59 (a) (iv))	1 June 2017	OSC	
59. Special protocol of the Secretary-General on preventing sexual exploitation and abuse (ibid., para. 36)	1 October 2017	OSC	
60. Annual management letters (ibid., para. 50)	1 October 2017	DM/OHRM	
61. Work with the Security Council members when deploying non-United Nations international forces and work with States to take preventative measures (ibid., para. 61)	1 October 2017	OHCHR	

Initiative proposal	*Status proposed date of completion*	*Lead*	*Impact*
62. Notify the EOSG when follow-up attempts go unanswered by Member States regarding investigations (ibid., para. 54)	1 June 2017	OLA	
63. Establish as a system to release publicly, as a standard practice, facts about credible reports of sexual exploitation and abuse (ibid., para. 70)	1 June 2017	DPI	

Abbreviations: AFP, agencies, funds and programmes; ASG, Assistant Secretary-General; DFS, Department of Field Support; DM, Department of Management; DPI, Department of Public Information; DPKO, Department of Peacekeeping Operations; DSS, Department of Safety and Security; EOSG, Executive Office of the Secretary-General; GS, General Service; OHCHR, Office of the United Nations High Commissioner for Human Rights; OHRM, Office of Human Resources Management; OICT, Office of Information and Communications Technology; OIOS, Office of Internal Oversight Services; OLA, Office of Legal Affairs; OSC, Office of the Special Coordinator; P, Professional; UNICEF, United Nations Children's Fund; USG, Under-Secretary-General.

Annex II

Principles established by the General Assembly for the application of limited budgetary discretion by the Secretary-General

In part III of its resolution 60/283, the General Assembly established the following principles for the application of limited budgetary discretion by the Secretary-General:

6. *Decides* to authorize the Secretary-General, on an experimental basis, a limited discretion for budgetary implementation for the bienniums 2006-2007 and 2008-2009, to enter into commitments up to 20 million United States dollars in each biennium for positions and non-post requirements for the purpose of meeting the evolving needs of the Organization in attaining its mandated programmes and activities;

[...]

8. *Decides* that the authorization referred to in paragraph 6 (limited budgetary discretion) above shall be implemented in accordance with the following principles:

(*a*) The experiment shall not be utilized for unforeseen and extraordinary expenses that are authorized in respect of the maintenance of peace and security;

(*b*) The experiment shall not imply any changes in the human resources management policies of the Organization;

(*c*) The proposed programme budget shall remain the principal instrument in which the Secretary-General sets out the resources and staffing requirements of the Organization, including the requirements for all reform proposals as agreed by Member States;

(*d*) The experiment shall in no way prevent the Secretary-General from requesting additional posts during the course of the experiment;

(*e*) The experiment shall not be implemented in pursuance of General Assembly resolutions calling for the implementation of decisions "within existing resources";

(*f*) The experiment shall not imply any changes to the provisions guiding the use of the contingency fund;

(*g*) The utilization of authorization shall be exercized with the prior concurrence of the Advisory Committee on Administrative and Budgetary Questions when the total amount utilized exceeds 6 million dollars per biennium;

(*h*) The experiment shall not alter the priorities of the Organization as agreed by the General Assembly;

(*i*) The utilization of the funds provided for under the experiment shall be subject to the Financial Regulations and Rules of the United Nations;

[...]